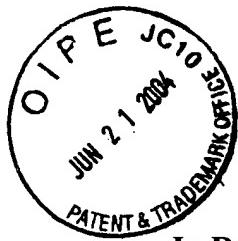


*1fw*

DOCKET NO.: MSFT-3955/148481.02

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**In Re Application of:**

Jules S. Cohen, et al.

**Application No.:** 10/828,726

**Filing Date:** April 21, 2004

**For:** **SYSTEM AND METHOD FOR INCREMENTAL AND REVERSIBLE DATA MIGRATION AND FEATURE DEPLOYMENT**

**Confirmation No.:**

**Group Art Unit:** Not Yet Assigned

**Examiner:** Not Yet Assigned

DATE OF DEPOSIT: *6-18-04*

I HEREBY CERTIFY THAT THIS PAPER IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL, POSTAGE PREPAID, ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO THE UNITED STATES PATENT AND TRADEMARK OFFICE, P.O. BOX 1450, ALEXANDRIA, VA 22314-1450.

*[Handwritten signature over typed name]*  
TYPED NAME: Peter M. Ullman  
REGISTRATION NO.: 43,963

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

Pursuant to 37 CFR § 1.56 and in accordance with 37 CFR §§ 1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 CFR § 1.56(b).

- In accordance with § 1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of

the above identified application as set forth in § 1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or before the mailing date of a first Office Action after the filing of request for continued examination under § 1.114, no additional fee is required.

- In accordance with § 1.129(a), this Information Disclosure Statement is being filed in connection with  the first or  second After Final Submission, therefore:
  - Certification in Accordance with § 1.97(e) is attached; or
  - The fee of \$180.00 as set forth in § 1.17(p) is attached.
- In accordance with § 1.97(c), this Information Disclosure Statement is being filed after the period set forth in § 1.97(b) above but before the mailing date of either a Final Action under § 1.113 or a Notice of Allowance under § 1.311, or before an action that otherwise closes prosecution in the application, therefore:
  - Certification in Accordance with § 1.97(e) is attached;
  - or
  - The fee of \$180.00 as set forth in § 1.17(p) is attached.
- In accordance with § 1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under § 1.113 or a Notice of Allowance under § 1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with § 1.97(e); and the submission fee of \$180.00 as set forth in § 1.17(p).

- Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.
- Copies of references listed on the attached Form PTO-1449 are enclosed herewith
- Copies of references listed on the attached Form PTO 1449 are not required to be submitted pursuant to the June 30, 2003 recent revisions to 37 CFR § 1.98(a)(2)(i).

EXCEPT THAT:

- In view of the voluminous nature of references [list as appropriate], and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.
- In accordance with § 1.98(d), copies of the following references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. § 120 have been made in the instant application:
  - Copies of references **1 thru 11** listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior Application No. **09/768,446**, filed **January 24, 2001**.

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050. This form is submitted in duplicate.

There are no listed references which are not in the English language.

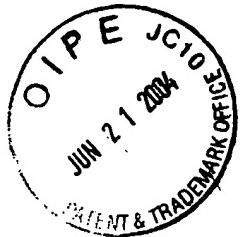
Date: *6-18-04*



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Sheet 1 of 2

<b>Form PTO-1449 Modified</b>		Docket No. <b>MSFT-3955/148481.02</b>	Application No. <b>10/828,726</b>
List of Patent and Publications Cited by Applicant (Use several sheets if necessary)		Applicant <b>Jules S. Cohen, et al.</b>	
U.S. Department of Commerce Patent and Trademark Office		Filing Date <b>April 21, 2004</b>	Group <b>Not Yet Assigned</b>
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>			
	<b>1</b>	Kamoun, Farouk, "A Drop and Throttle Flow Control Policy for Computer Networks", <i>IEEE Transactions on Communications</i> , 1981, 29(4), 4-12	
	<b>2</b>	Radeke, E., "federation and Stepwise Reduction of Database Systems", <i>Applications of Databases</i> , Litwin, W. et al., (eds.), <i>First Int'l Conf.</i> , June 21-23, 1994, 381-399	
	<b>3</b>	Covington, M. et al., "Challenges of Migrating Legacy Data to a Distributed Capacity Repository", <i>TI Technical Journal</i> , July-Aug 1996, 13(4), 30-34	
	<b>4</b>	Kimball, R., "Mastering Data Extraction", <i>Data Warehouse Architect</i> , June 1996, 14-16	
	<b>5</b>	Wu, Bing, et al., "Legacy Systems Migration-A Method and its Tool-Kit Framework", <i>Asia Pacific Software Engineering Conference and Int'l Computer Science Conference</i> , December 2-5, 1997, 312-320	
<b>EXAMINER</b>		<b>DATE CONSIDERED</b>	

<b>Form PTO-1449 Modified</b>		Docket No. <b>MSFT-3955/148481.02</b>	Application No. <b>10/828,726</b>
List of Patent and Publications Cited by Applicant (Use several sheets if necessary)		Applicant <b>Jules S. Cohen, et al.</b>	
		Filing Date <b>April 21, 2004</b>	Group <b>Not Yet Assigned</b>
<b>U. S. PATENT DOCUMENTS</b>			

<b>Examiner Initial</b>		<b>Document No.</b>	<b>Date</b>	<b>Name</b>	<b>Class</b>	<b>Subclass</b>
	<b>6</b>	6,006,265	12/21/99	Rangan, et al.	709	226
	<b>7</b>	6,112,240	08/29/00	Pogue, et al.	709	224
	<b>8</b>	6,662,230 B1	12/09/03	Eichstaedt, et al.	709	229
	<b>9</b>	6,711,618 B1	03/23/04	Danner, et al.	709	228
	<b>10</b>	2002/0069261 A1	06/06/02	Bellare, et al.	709	218
	<b>11</b>	2002/0007402 A1	01/17/02	Thomas Huston, et al.	709	217

**FOREIGN PATENT DOCUMENTS**

<b>Examiner Initial</b>		<b>Document No.</b>	<b>Date</b>	<b>Country</b>	<b>Translation</b>	
					<b>YES</b>	<b>NO</b>

**EXAMINER****DATE CONSIDERED**